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File 625:American Banker Publications 1981-2002/Oct 18

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File 626:Bond Buyer Full Text 1981-2002/Oct 18

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File 267:Finance & Banking Newsletters 2002/Oct 16

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Set	Items	Description
S1	409	(ENTER? OR INPUT? OR INSERT? OR TYPING OR RECORDING OR SCAN? OR FILING) (6N) (TRADE OR TRADES OR EXCHANGE OR EXCHANGES OR BUY(3N) SELL OR AUCTION) (6N) (DATA OR INFORMATION OR TRANSACTION?)
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S6	96	(RECORDING OR RECORD OR TRACK? OR MONITOR? OR TRACE? OR TRACING) (6N) (TRADE OR TRADES) (6N) (RECORDS OR ACTIVITY OR ACTIVITIES OR TRANSACTION? ?)
S7	0	S1(S) S2(S) S3(S) S4(S) S5
S8	0	S1(S) S4(S) S5
S9	0	S5(S) S6
S10	8	S6(S) AUDIT?
S11	1	S4(S) S6
S12	9	S7:S11
S13	6	S12 NOT PY>2000
S14	6	RD (unique items)
S15	0	S1 AND S2 AND S3 AND S4 AND S5
S16	1	S1 AND S4 AND S5
S17	2	S5 AND S6
S18	14	S6 AND AUDIT?
S19	5	S4 AND S6
S20	15	S14 OR S18
S21	14	RD (unique items)

?t14/3,k/all

14/3,K/1 (Item 1 from file: 625)

DIALOG(R)File 625:American Banker Publications

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0021526

Computer System Tracks 2 Sides of Hedge

American Banker - October 27, 1983, Thursday; Pg. 3

WORD COUNT: 999

BYLINE:

By JOHN MORRIS

TEXT:

...you are to start with.

The magnitude of such problems had concerned the bank's **auditors**, who pointed out that **tracking** futures **transactions** threatened to become so

October 18, 2002 1 16:00

complex that some **trades** might slip through the cracks.

Now they are much happier with **record** -keeping by computer, rather than pencil and paper.

While the system will not greatly benefit...

14/3,K/2 (Item 1 from file: 268)
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00211285

Commercial banking and the securities industry: the new wave?

Levy, George M.; Sikorski, Howard A.

Bank Management, v59, n11, p26-28, Nov 1983 LANGUAGE: English

RECORD TYPE: Abstract

...ABSTRACT: existing broker dealer. Others form clearance agreements with autonomous dealers. Important internal controls include tape recording conversations, confirming **trades**, reviewing trading activity, and internal **auditing**.

14/3,K/3 (Item 2 from file: 268)
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00013976

Nontraditional profit-making lending techniques

Chadwick, James C.; Weitman, David

Journal of Commercial Lending, v75, n6, p34-43, Feb 1993 LANGUAGE:

English RECORD TYPE: Abstract

...ABSTRACT: can pursue a variety of nontraditional activities to maintain profitability in a competitive environment. These **activities** include: 1) loan servicing and cash management services; 2) **trade** services and **trade** finance; 3) collateral **monitoring** and **auditing**; 4) risk management services; 5) trust services; 6) loan commitments; 7) receivables factoring; and 8...

14/3,K/4 (Item 1 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
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0222091

Bond-Processing Meeting Held As NASD's TRACE Draws Fire

The Bond Buyer - March 1, 2000; Pg. 1; Vol. 331, No. 30839

Word Count: 853

BYLINE:

By Lynn Hume

TEXT:

...it is not clear that the system would not also be used for customer-side **trade** matching." In addition, **TRACE** "would unjustifiably interfere with the global efforts under way to redesign the post- **trade** processing of institutional **transactions**," Thomson said.

<http://www.bondbuyer.com>

14/3,K/5 (Item 2 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
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0086728

Rumors of Successful Treasury Action Trigger Rally in Interest Rate Futures
The Bond Buyer - February 5, 1988; Pg. 2(618); Vol. 283, No. 27821
Word Count: 760

BYLINE:
By Linda Punch

TEXT:

...Exchange after regulators demanded an
"audit trail" to detect trading abuses. It reconstructs daily trading
activity for individual market participants and determines the execution
time of each transaction .

The monitoring system reviews trade data daily for possible
violations
of exchange rules and regulations, including the practice of "trading..."

14/3,K/6 (Item 1 from file: 267)
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04563365

**Quality Control At Mother Merrill: Spending Big Bucks to Obtain Best
Execution**

Peter Chapman

Traders

March 1,2000 DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 1349

RECORD TYPE: FULLTEXT

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TEXT:

...to George Lawlor, a trading manager at Merrill.

Merrill already uses periodic reports from the Transaction Auditing
Group (TAG) of Northport, New York, to monitor its trades .

But the firm does not think TAG reports will be enough to satisfy NASD
Regulations...

...BEAMS as a threat. "There is room for both an internal system and an
outside auditor ," he said, contending that TAG reports show information
that an internal system cannot.

Shapiro said...however, it has begun receiving OATS data from all the
major firms. OATS, or Order Audit Trail System data gives the regulator
the time an order was received by a firm...

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